



PATENT  
Customer No. 22,852  
Attorney Docket No. 8386 0003-01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
)  
Thomas V. RESSEMANN et al. ) Group Art Unit: 3763  
)  
Application No.: 09/940,986 ) Examiner: Unknown  
)  
Filed: August 29, 2001 )  
)  
For: EMBOLI PROTECTION DEVICES )  
AND RELATED METHODS OF USE )

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Commissioner for Patents and Trademarks  
Washington, DC 20231

Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), applicant brings to the attention of the Examiner the documents listed on the attached PTO 1449. This Information Disclosure Statement is being filed within three months of the filing date of the above-referenced application.

Copies of the listed documents are attached.

Applicants respectfully request that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached form.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and applicants determine

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that the cited documents do not constitute "prior art" under United States law, applicants reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: October 16, 2001

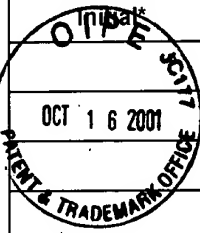
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## INFORMATION DISCLOSURE CITATION

Atty. Docket No.	8386.0003-01	Serial No.	09/940,986
Applicant	Thomas V. RESSEMANN et al.		
Filing Date	August 29, 2001	Group:	Unknown

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U.S. PATENT DOCUMENTS						
Examiner	Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate
	4,921,478	5/1/90	Solano et al.	604	53	
	5,350,395	9/27/94	Yock	606	194	
	5,451,207	9/19/95	Yock	604	53	
	5,451,233	9/19/95	Yock	606	194	
	5,527,292	6/18/96	Adams et al.	604	171	
	5,749,888	5/12/98	Yock	606	194	
	5,769,868	6/23/98	Yock	606	194	
	6,036,715	3/14/00	Yock	606	194	
	4,784,636	11/15/88	Rydell	604	22	
	4,883,460	11/28/89	Zanetti	604	22	
	5,833,650	11/10/98	Imran	604	53	
	5,989,263	11/23/99	Shmulewitz	606	108	
	6,013,085	1/11/00	Howard	606	108	
	6,146,370	11/14/00	Barbut	604	500	
	6,176,844 B1	1/23/01	Lee	604	101.04	
	5,843,022	12/1/98	Willard et al.	604	30	
	5,971,938	10/26/99	Hart et al.	600	562	
	4,655,746	4/7/87	Daniels et al.	604	53	
	5,484,412	1/16/96	Pierpont	604	101	
	5,423,742	6/13/95	Theron	604	28	
	6,156,005	12/5/00	Theron	604	96	
	6,022,336	2/8/00	Zadno-Azizi et al.	604	96	
	5,059,178	10/22/91	Ya	604	101	
	5,011,488	4/30/91	Ginsburg	606	159	
	5,569,204	10/29/96	Cramer	604	164	
	6,135,991	10/24/00	Muni et al.	604	509	
	6,206,868 B1	3/27/01	Parodi	604	500	

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FOREIGN PATENT DOCUMENTS							
	Document Number	Publication Date	Country	Class	Sub Class	Translation Yes or No	
	0 427 429 A2	5/15/91	EPO	A61M	25/10		
	WO 99/45835	9/16/99		A61B			

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)	
	Kachel, Reiner, M.D., "Results of Balloon Angioplasty in the Carotid Arteries," J ENDOVASC SURG, 1996, 3:22-30.
	Kachel, R., "Current Status and Future Possibilities of Balloon Angioplasty in the Carotid Artery," Connors, Wojak (Eds); <u>Interventional Neuroradiology Strategies and Practical Techniques</u> , Chapter 46, pp. 473-484, 1998.
	Theron, Jacques, MD, "Cerebral Protection During Carotid Angioplasty," Letters to the Editors, J. ENDOVASC SURG, 1996:3:484-486.

Examiner	Date Considered
*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	
Form PTO 1449	Patent and Trademark Office - U.S. Department of Commerce